

STD 73 (REV. 6/2002)
RECORDS RETENTION SCHEDULE

STATE OF CALIFORNIA – DEPARTMENT OF GENERAL SERVICES
 STATE RECORDS PROGRAM

Submit three copies to: Department of General Services, California Records and Information Management, 707 Third St. 2nd Fl., W. Sacramento, CA 95605.

A CalRIM Consultant may be reached by phone at (916) 375-4404, by fax at (916) 375-4408 or by email at CalRIM@dgs.ca.gov

(1) DEPARTMENT, BOARD OR COMMISSION Public Utilities Commission		(2) AGENCY BILLING CODE 59000	(3) PAGE 1 OF 3 PAGES	
(4) DIVISION/ BRANCH/ SECTION Administrative Law Judge Division – Admin		(5) ADDRESS 505 Van Ness Avenue, San Francisco, CA 94102		
CHECK THE APPROPRIATE BOX				
(6) <input type="checkbox"/> New schedule of records that have never been scheduled. [Complete boxes (9) – (12)] (7) <input checked="" type="checkbox"/> Revising a previous schedule. [Complete boxes (13) – (16)] (A new approval number will be assigned.) (8) <input type="checkbox"/> Amending some pages of a previous schedule. [Complete boxes (13) – (16)] (The original approval number will remain in effect.)				
NEW SCHEDULE INFORMATION (If applicable)	(9) SCHEDULE NUMBER ALJ-1	(10) SCHEDULE DATE 11/27/07	(11) NUMBER OF PAGES 3	(12) CUBIC FEET (Total Schedule) 15.1
PREVIOUS SCHEDULE INFORMATION (If applicable)	(13) SCHEDULE NUMBER A 12 (Amendment 2)	(14) APPROVAL NUMBER 99-010	(15) APPROVAL DATE (S) 2/4/99	(16) PAGE NUMBER(S) REVISED – 1, 2, 3
(17) MISSION/FUNCTIONAL STATEMENT : The Administrative Law Judge Division supports Commission decision-making by processing formal filings, facilitating alternative dispute resolution, conducting hearings, developing an adequate administrative record, preparing timely proposals for Commission consideration, and preparing and coordinating Commission business meeting agendas.				
PART I – AGENCY STATEMENTS				
As the program manager (or person authorized to sign for the program manager) directly responsible for the records listed on this records retention schedule, I certify that all records listed are necessary and that each retention period is correct. <i>For revisions, all items on the previous schedule are included or accounted for on the recapitulation. Vital records identified by this schedule are protected. If protection is not currently provided but plans are underway, the details of such plans are shown in Column 45, Remarks.</i>				
(18) SIGNATURE - MANAGER RESPONSIBLE FOR THE RECORDS Debbie Lee		(19) TITLE Division Liaison	(20) PHONE NUMBER 415.703.1553	(21) DATE SIGNED 11/27/07
In accordance with Government Code 14755, approval of this Records Retention Schedule by the Department of General Services is hereby requested. Retention periods shown have been established in accordance with the criteria set forth by Section 1667 of the State Administrative Manual.				
(22) SIGNATURE - RECORDS MGMT. ANALYST Gary R. Munhall	(23) CLASSIFICATION Business Services Manager II (Supv)	(24) NAME (Printed or Typed) Gary R. Munhall	(25) PHONE NUMBER 415.703.1860	(26) DATE SIGNED 12/26/2008
PART II – DEPARTMENT OF GENERAL SERVICES APPROVAL (Per Government Code Section 14755)				
(27) SIGNATURE – CalRIM CONSULTANT Janice C. Sanchez		(28) APPROVAL NUMBER 08-057	(29) DATE SIGNED 2/19/2008	(30) EXPIRATION DATE 2/19/2013
PART III – ARCHIVAL SELECTION (Per Government Code Section 14755)			FOR ARCHIVES' STAMP	
THE ATTACHED RECORDS RETENTION SCHEDULE: (31) <input checked="" type="checkbox"/> Contains no material subject to further review by the California State Archives (32) <input type="checkbox"/> Contains material subject to archival review. Items stamped "NOTIFY ARCHIVES" may not be destroyed without clearance by the California State Archives. (Per Section 1671 of the State Administrative Manual.)				
(33) SIGNATURE – CHIEF OF ARCHIVES OR DESIGNATED REPRESENTATIVE Sydney Bailey, Archivist				
			(34) DATE SIGNED 3/10/08	

ITEM #	CUBIC FEET *	CA. STATE ARCHIVES USE ONLY	TITLE AND DESCRIPTION OF RECORDS (Double spaces between items)	MEDIA	VITAL	RETENTION				PRA (Exempt) & IPA	REMARKS
						OFFICE	DEPT.	SRC	TOTAL		
(37)	(38)	(39)	(40)	(41)	(42)	(43)	(44)	(45)	(46)	(47)	(48)

			<u>Formal Proceedings</u>								<p><i>Legend:</i> CPUC or Commission – Calif. Public Utilities Commission ALJ – Administrative Law Judge</p> <p><i>Retention period is per management decision unless otherwise noted.</i></p>
1	1		Workload Statistics and Progress, Productivity, and Current Reports (e.g. case priority documents, log for requests for extension of time related to formal proceedings, quarterly reports)	P		Current	0	0	Current		Retain as current until superseded.
2			Formal Proceedings Monitor	M		Current	0	0	Current		Retain as current until superseded.
3	0		Correspondence	P							Any correspondence is formal proceeding specific and is filed in the formal proceeding file (Central Files Office) or prepared for the Executive Director and maintained in the Office of the Executive Director. This item was tagged to "Hold/Notify Archive" on the previous Schedule as are the formal proceeding files where this correspondence now resides. <i>This item will be removed from future Records Retention Schedules for this office.</i>
4	1		Draft Case Assignment lists	P		Current +1	0	0	Current +1		
5	1		SB 960 (Section 13) & AB 1735 Compliance Report to the Legislature (Public Utilities Code Section 1701.6)	P		Current +3	0	0	Current +3		
6			SB 960 (Section 13) & AB 1735 Compliance Report the Legislature (Public Utilities Code Section 1701.6)	M		Current +3	0	0	Current +3		Retained in Documents Management System (DM5)
			<u>Administrative</u>								
7	4		Division Budget Reports (includes budget tracking)	P		Active +3	0	0	Active +3		
8	0		Proposed Legislation Affecting the CPUC	P		0	0	0	0		This item is being removed from this and future Records Retention Schedules. The CPUC Office of Governmental Affairs tracks all legislation.
9	8		Division Copies of Personnel/Training Records and Related Documents	P		Active +3	0	0	Active +3		

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10	0.1		<u>Records Management</u>								
			Records Retention Schedules (STD 73)	P		Current	0	0	Current		Retain as current until REVISED Although revision is required every five years from the date approved by DGS, RRS that are not revised remain in effect but are considered non-current.
11	↓		STD 70 – Records Inventory Worksheet	P		Current	0	0	Current		Retain as current until next inventory OR WHEN NO LONGER NEEDED FOR REFERENCE OR ANALYSIS, WHICHEVER IS LATER.

* Provide total of office and departmental